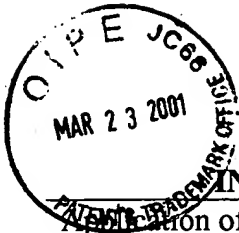


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Atty. Docket No.: 5538/1020

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant of: Moss, et al.

Serial No.: 09/753,755

Filed: January 3, 2001

Entitled: "Automated Trading System"

Examiner:

Group Art Unit

**CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8a**

I hereby certify that this correspondence (and any paper or fee referred to as being enclosed) is being deposited with the United States Post Office as First Class Mail on the date indicated below in an envelope addressed to Commissioner for Patents, Washington, D.C. 20231.

Kathleen M. Williams

Name of Person Mailing Paper

Signature of Person Mailing Paper

Commissioner for Patents  
Washington, D.C. 20231

**TRANSMITTAL LETTER**


Enclosed for filing in the above-identified patent application, please find the following documents:

1. Information Disclosure Statement;
2. Form PTO-1449
3. Copies of Cited References; and
5. Return Post Card.

The Commissioner for Patents is hereby authorized to charge any additional fees or credit any overpayment in the total fees to Deposit Account No. 16-0085, Reference No. 5538/1020. A duplicate of this transmittal letter is enclosed for this purpose.

Respectfully submitted,

Date: March 21, 2001

  
Name: Kathleen Williams  
Registration No.: 34,380  
Palmer & Dodge LLP  
One Beacon Street  
Boston, MA 02108  
Tel: 617-573-0100



Atty. Docket No.: 5538/1020

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Moss et al  
Serial No.: 09/753, 755  
Filed: January 3, 2001  
Entitled: Automated Trading System

Examiner:

Group Art Unit

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Kathleen M. Williams

Name of Person Mailing Paper

Signature of Person Mailing Paper

Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 CFR §§ 1.56, 1.97 AND 1.98**

Dear Sir:

In accordance with the duty of disclosure under 37 CFR § 1.56, Applicant submits this Information Disclosure Statement pursuant to 37 CFR §§ 1.97 and 1.98 in the above-identified application for consideration by the Patent Office. A listing of the cited documents is also enclosed, as well as, for the Examiner's convenience, copies of the documents in the list. Pursuant to CFR § 1.97(b)(3), because this Statement is being submitted before the first Office Action on the merits, no fee is required.

Applicant does not intend to represent that any of the documents submitted herein are material prior art to this invention or that the list represents an exhaustive search of documents related to this invention.

Applicant respectfully requests that the documents submitted herein be considered and made of record in this application.

Respectfully submitted,

Date:

3/21/01

Name: Kathleen M. Williams Ph.D.

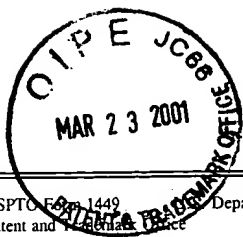
Registration No.: 34, 380

Palmer & Dodge LLP

One Beacon Street

Boston, MA 02108

Tel: 617-573-0100

Date of Deposit: March 21, 2001USPTO Form 1449  
Patent and Trademark Office  
Department of Commerce

## INFORMATION DISCLOSURE STATEMENT

Attorney Docket No.

5538/1020

Serial No.

09/753,755

Applicant(s): Moss et al.

Filing Date: 1/3/01

Group:

## U.S. PATENT DOCUMENTS

Examiner Initial	Patent No.	Date	Name	Class	Subclass	Filing Date (if appropriate)
	5,758,328	5/26/98	Giovannoli			2/22/96
	5,375,055	12/20/94	Togher, et al			2/3/92
	5,077,665	12/31/91	Silverman, et al			5/25/89
	3,573,747	4/6/71	Adams, et al			2/24/69

## FOREIGN PATENT DOCUMENTS

Examiner Initial	Document No.	Date	Country	Class	Subclass	Translation	
						YES	NO
	✓ WO 97/45802	12/497	WO				X
	✓ WO 97/43727	11/20/97	WO				X
	✓ WO 96/05563	2/22/96	WO				X
	✓ WO 93/15467	8/5/93	WO				X
	✓ EP0407026	1/9/91	Europe				X
	✓ EP 0399850	11/28/90	Europe				X
	✓ GB 2161003	1/2/86	United Kingdom				X

## OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, etc.)


EXAMINER

DATE CONSIDERED

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

\*\*Copies of references not provided at the time of this submission.